

DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION

Records Retention and Disposition Schedule

Departmental Name Change

An organizational name change to this Records Retention and Disposition Schedule is hereby approved. This Records Retention and Disposition Schedule reflects a departmental name change from Department of Economic and Community Development to Department of Commerce. No new items have been added, no items have been deleted, and no changes have been made to any existing series descriptions or disposition instructions in the most recent schedule dated April 12, 1990. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the


UNEMPLOYMENT INSURANCE DIVISION

do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. Public records including machine readable records not listed in this schedule are not authorized to be destroyed. The

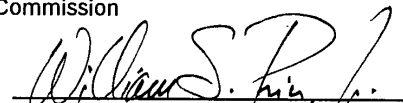
UNEMPLOYMENT INSURANCE DIVISION

agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.


APPROVAL RECOMMENDED



Clarence A. Jones, Records Officer
Employment Security Commission


Ann Q. Duncan, Chairman
Employment Security Commission


William S. Price, Jr., Director
Division of Archives and History

APPROVED


S. Davis Phillips, Secretary
Department of Commerce


Betty Ray McCain, Secretary
Department of Cultural Resources

February 15, 1993

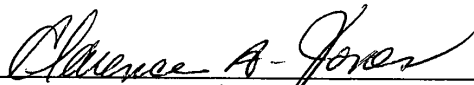
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DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
TAX DEPARTMENT
MICROGRAPHICS UNIT

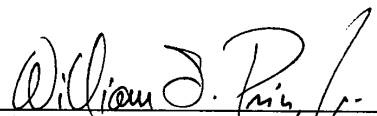
Records Retention and Disposition Schedule Amendment

Amend the records retention and disposition schedule approved February 15, 1993 by changing the disposition instructions of Item 457 as shown on substitute page dated April 10, 1993.

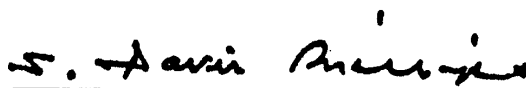
APPROVAL RECOMMENDED

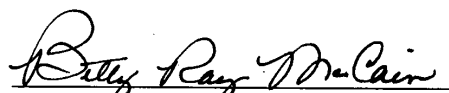

Clarence A. Jones, Director and Chief Records Officer
Administrative Services, Employment Security Commission


Ann Q. Duncan, Chairman
Employment Security Commission


William S. Price, Jr., Director
Division of Archives and History

APPROVED


S. Davis Phillips, Secretary
Department of Economic and Community
Development


Betty Ray McCain, Secretary
Department of Cultural Resources

April 10, 1993


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RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

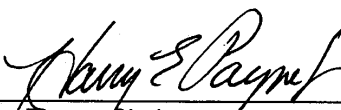
DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
TAX DEPARTMENT
MICROGRAPHICS UNIT

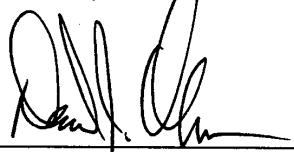
Amend the records retention and disposition schedule approved February 15, 1993 by changing the disposition instructions for Item 457 as shown on substitute pages dated March 25, 2003.

APPROVAL RECOMMENDED


Mary Schaeffer, Records Officer
Employment Security Commission

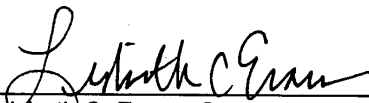

David Canady, Director
Unemployment Insurance Division


Harry Payne, Chairman
Employment Security Commission


David J. Olson, Director
Division of Historical Resources

APPROVED


Jim Fair, Secretary
Department of Commerce


Lisbeth C. Evans, Secretary
Department of Cultural Resources

March 25, 2003


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RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
UI SUPPORT DEPARTMENT

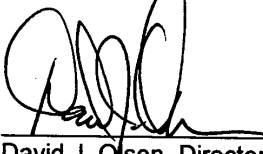
Amend the records retention and disposition schedule approved February 15, 1993 by changing the disposition instructions for Item 3520 as shown on substitute pages dated March 25, 2003.

APPROVAL RECOMMENDED

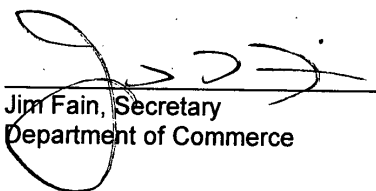

Mary Schaeffer, Records Officer
Employment Security Commission

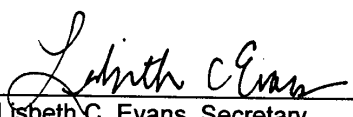

David Canady, Director
Unemployment Insurance Division


Harry Payne, Chairman
Employment Security Commission


David J. Olson, Director
Division of Historical Resources

APPROVED


Jim Fain, Secretary
Department of Commerce


Lisbeth C. Evans, Secretary
Department of Cultural Resources

March 25, 2003

JCG

DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION

Records Retention and Disposition Schedule

Departmental Name Change

An organizational name change to this Records Retention and Disposition Schedule is hereby approved. This Records Retention and Disposition Schedule reflects a departmental name change from Department of Economic and Community Development to Department of Commerce. No new items have been added, no items have been deleted, and no changes have been made to any existing series descriptions or disposition instructions in the most recent schedule dated April 12, 1990. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

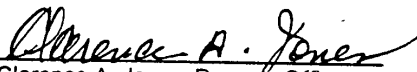
UNEMPLOYMENT INSURANCE DIVISION

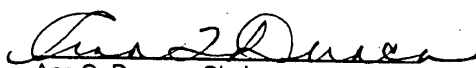
do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. Public records including machine readable records not listed in this schedule are not authorized to be destroyed. The

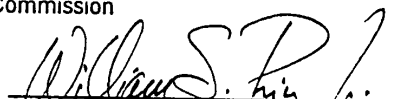
UNEMPLOYMENT INSURANCE DIVISION

agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

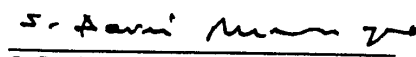
APPROVAL RECOMMENDED



Clarence A. Jones, Records Officer
Employment Security Commission


Ann Q. Duncan, Chairman
Employment Security Commission


William S. Price, Jr., Director
Division of Archives and History

APPROVED


S. Davis Phillips, Secretary
Department of Commerce


Betty Ray McCain, Secretary
Department of Cultural Resources

February 15, 1993

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This schedule was modified to
comply with the provisions of the
General Schedule for State Agency Records,
effective October 1, 2000
Remaining items retain the
original date shown below.

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
ACCOUNTING
ASSISTANT DIRECTOR FOR TAX**

ITEM 12102. OPINIONS FILE.

Legal opinions concerning Employment Security Commission.

DISPOSITION INSTRUCTIONS: Destroy in office when legal value ends.

ITEM 12103. FINANCIAL REPORTS FILE.

Financial reports concerning accounting actions of the unit.

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.

ITEM 12104. NOTEBOOKS FILE.

Programmatic materials kept in three-ring binders.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 12105. SUBJECT FILE.

Records concerning administration and operation of the unit. File includes correspondence, memorandums, reports, and various other records.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
APPEALS DEPARTMENT**

ITEM 448. DEPARTMENTAL ADMINISTRATIVE FILE.

Records concerning the daily operation of the Appeals Section. File includes annual appeals performance plans, correspondence, memorandums, travel vouchers, procedures, policies, equipment records, administrative data concerning conferences, reporting procedures, disclosure of information, and other records used to administer division programs.

DISPOSITION INSTRUCTIONS: Destroy in office travel vouchers when released from all audits. Destroy in office equipment records when equipment is disposed of. Destroy in office remaining records when administrative value ends.

ITEM 450. MONTHLY STATISTICAL REPORTS FILE.

Completed forms ES-221.1 and ES-5-130-L, which provide monthly statistics of departmental unemployment insurance appeals dispositions. Information in reports includes each case number, type of case, time lapse, and other pertinent data.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 year(s). Records will be held for agency in the State Records Center 5 additional years and then destroyed.

ITEM 14706. WORK INCENTIVE (WIN) AND MANPOWER TRAINING AND DEVELOPMENT ACT (MTDA) PROGRAMS FILE.

Records concerning unemployment insurance claim cases involving WIN or MTDA program participants. File includes or concerns evidential data, exhibits, adjudications, and other related data; maintained separately from Appeals Referee File for reference purposes.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when reference and legal values end. Records will be held for agency in the State Records Center 3 additional years and then destroyed.

ITEM 14709. TRANSMITTAL FILE.

Completed United States Department of Labor reports concerning Employment Security Commission administrative decisions involving unemployment insurance claims. File includes information concerning numbers of decisions by category (state unemployment insurance, unemployment compensation for federal employees, unemployment compensation for ex-servicemen, etc.).

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 24918. MICROFICHE FILE.

Microfiche copies of appeals referee's decisions issued as a result of protested claims for unemployment insurance benefits.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
CLAIMS DEPARTMENT
ASSISTANT DIRECTOR'S OFFICE**

ITEM 25898. BUDGET FILE.

Reference copies of records concerning the budget and expenditures of the department.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 25899. CLAIMS SPECIALISTS' ITINERARIES FILE.

Itineraries concerning claims specialists of the department.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 25900. CORRESPONDENCE FILE.

Correspondence and memorandums written and received by the office.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

ITEM 25901. CORRESPONDENCE FOR CHAIRMAN'S SIGNATURE FILE.

Correspondence prepared by office personnel for signature by the Chairman of the Employment Security Commission.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 25905. REPORTS FILE.

Various routine reports submitted to or for the office. File includes quality control reports, federal program status reports, and other related reports.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
CLAIMS DEPARTMENT
BENEFIT CHARGES DETERMINATION UNIT**

ITEM 21570. CORRESPONDENCE FILE.

Correspondence written and received by the unit. File includes employer letters, interoffice memorandums, and other related records. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 21574. NONCHARGING REQUESTS FILE.

Records concerning employers' protests to charges to their experience rating (reserve) accounts.

File includes noncharging request forms, initial claim forms, final determinations (allowed and disallowed), correspondence, and other related records. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
CLAIMS DEPARTMENT
BENEFIT PAYMENT CONTROL UNIT**

ITEM 25981. CERTIFICATES OF DEPOSITS FILE.

Reference copies of certificates of deposits made by the unit.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) and when released from all audits, whichever occurs later.

ITEM 25982. CORRESPONDENCE FILE.

Correspondence and memorandums written and received by the unit.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 25983. CORRESPONDENCE (CLAIMANTS/ATTORNEYS) FILE.

Correspondence between claimants/attorneys and the unit. (Comply with provisions of G.S. 132-1 concerning confidentiality of client/attorney correspondence.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 25984. CLAIMS OVERPAYMENT DATA ENTRY TRANSACTIONS FILE.

Records concerning claims processing errors that result in claims overpayments such as claim withdrawn cases and incorrect social security number cases. File includes printouts, memorandums, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) and when released from all audits, whichever occurs later.

ITEM 25985. EXPENDED RECEIPT BOOKS FILE.

Expended receipt books documenting receipts of funds by unit personnel.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 year(s) and when released from all audits, whichever occurs later.

ITEM 25986. FRAUD AND NON-FRAUD DETERMINATIONS FILE.

Reference copies of determinations of fraud and non-fraud investigations. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 25987. INTERNAL REPORTS/PRINTOUTS FILE.

Reports and printouts generated to monitor, evaluate, and report unit performance.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 25988. INVESTIGATION CASES FILE.

Records concerning overpayment investigations by unit personnel, including fraud, non-fraud, and administrative investigations. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office when case is closed if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 25990. 101 REPORTS FILE.

Monthly listings of amounts of overpayments and receipts by account.

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
CLAIMS DEPARTMENT
BENEFIT PAYMENT CONTROL UNIT**

ITEM 25991. 227 REPORTS FILE.

Reports prepared for the Labor Market Information Division by the unit.

DISPOSITION INSTRUCTIONS: Follow federal retention and disposition instructions.

ITEM 25992. OFFLINE CHECK REQUESTS FILE.

Requests for checks outside the benefit payment system. File includes offline request forms, offline ledgers, offline batch information, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.

ITEM 25996. REVERSALS FILE.

Records concerning system adjustments to correct inaccurate account balances within the system resulting from overpayments. File includes printouts, memorandums, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
CLAIMS DEPARTMENT
CLAIMS COMMUNICATIONS UNIT**

ITEM 12426. ADDRESS CHANGES FILE.

Records concerning requests for changes to claimants names and/or addresses. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) and when released from all audits, whichever occurs later.

ITEM 12427. CHECK REGISTERS FILE.

Microfiche copies of checks issued daily. (Records are indexed by social security number.) (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 12428. CLAIMANTS' RECORDS FILE.

Microfiche copy of claimants benefit histories from April 1, 1971, through September 30, 1984. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 12429. CORRESPONDENCE FILE.

Correspondence and memorandums written and received by the unit. File includes unemployment benefits inquiries, inquiries from other governmental agencies concerning individual claimant records, and requests for forms. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 12433. TAX RECORDS FILE.

Microfiche copies of records listing all benefits paid to all individuals by calendar year for individual income tax reporting purposes. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 12435. WORD PROCESSING (ADMINISTRATIVE DATABASE) FILE.

Word-processing database file for unit correspondence, form letters, and other administrative records. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
CLAIMS DEPARTMENT
CLAIMS COORDINATOR'S OFFICE**

ITEM 19957. ADMINISTRATIVE BULLETINS FILE.

Agency bulletins concerning information regarding leave, pay, procedures, and other related subjects. File includes employment service bulletins and unemployment insurance bulletins.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 19958. CORRESPONDENCE FILE.

Correspondence written and received by the office.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 19959. CLAIMS CORRESPONDENCE FILE.

Correspondence concerning claims in error. (File may be used to confirm changes in wages on a claim or other significant changes to benefit claims.) (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) and when released from all audits, whichever occurs later.

ITEM 19960. FILM CONTROL SHEETS FILE.

Records concerning processed film produced by the optical character reader.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 19964. OFFICE ADMINISTRATION (WORD PROCESSING) FILE.

Machine readable records concerning the administration and management of the office. (NOTE: Source documents returned to originating personnel after being recorded on tape/floppy disk should be disposed of in originating office in accordance with that office's records disposition schedule.) (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
CLAIMS DEPARTMENT
COMBINED WAGE UNIT**

ITEM 462. CLAIMANTS FILE.

Records concerning unemployment insurance benefits claims categorized into intrastate claims, interstate claims, and combined wage claims. File includes correspondence, wage transcripts, monetary determinations, and other related records. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 2 year(s). Records will be held for agency in the State Records Center 3 additional years and then destroyed.

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
CLAIMS DEPARTMENT
EMPLOYER BENEFIT CHARGES UNIT**

ITEM 463. LISTS OF CHARGES FILE.

Copies of the information contained in annual "List of Charges to Your Experience Rating Account" mailed to employers in October of each year. (File is used to prepare correspondence and answer inquiries to the unit.) (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

ITEM 19221. CORRESPONDENCE FILE.

Correspondence written and received by the unit. File includes employers' and/or employers' representatives' letters of protest to benefit charges applied to their account and records needed to prepare letters. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 19222. FISCAL YEAR CLOSEOUT FILE.

Printouts containing information used to prepare employers' lists of charges. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office after 4 years.

ITEM 19224. SUPPLEMENTAL LISTS OF CHARGES FILE.

Records concerning any adjustments (charge/credit) to employers' accounts regarding benefit charges on the original "List of Charges to Your Experience Rating Account." (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

ITEM 19225. LISTS OF CHARGES AND SUPPLEMENTAL LISTS OF CHARGES (MICROFICHE) FILE.

Microfiche copies of all "Lists of Charges to Your Experience Rating Account" and supplemental lists of charges. (File is microfilmed from machine readable records by Computer Output Microfilming.) (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office after 4 years.

ITEM 19226. UNEMPLOYMENT INSURANCE (UI) PROCEDURAL LETTERS AND PUBLICATIONS FILE.

Publications and letters received by the unit concerning changes in the UI program.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
CLAIMS DEPARTMENT
FEDERAL EMPLOYEES (UCFE) AND MILITARY PERSONNEL (UCX) PROGRAMS UNIT**

ITEM 20918. CORRESPONDENCE FILE.

Correspondence and memorandums written and received by the unit.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM 20919. COMBINED WAGE CLAIMS FILE.

Records concerning combined wage unemployment insurance claims of former military personnel and federal civilian employees. File includes correspondence, wage transcripts, monetary determinations, and other related records. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office 6 years after final determination or final payment of claim and when released from all audits, whichever occurs later.

ITEM 20920. FEDERAL EMPLOYEES (UCFE) INTERSTATE CLAIMS FILE.

Records concerning interstate unemployment insurance claims for federal employees. File includes correspondence, wage transcripts, monetary determinations, and other related records. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 3 year(s). Records will be held for agency in the State Records Center 3 additional years and then destroyed.

ITEM 20921. FEDERAL EMPLOYEES (UCFE) INTRASTATE CLAIMS FILE.

Records concerning intrastate unemployment insurance claims for federal employees. File includes correspondence, wage transcripts, monetary determinations, and other related records. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 3 year(s). Records will be held for agency in the State Records Center 3 additional years and then destroyed.

ITEM 20922. MILITARY PERSONNEL (UCX) INTERSTATE CLAIMS FILE.

Records concerning interstate unemployment insurance claims for former military personnel. File includes correspondence, wage transcripts, monetary determinations, and other related records. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 3 year(s). Records will be held for agency in the State Records Center 3 additional years and then destroyed.

ITEM 20923. MILITARY PERSONNEL (UCX) INTRASTATE CLAIMS FILE.

Records concerning intrastate unemployment insurance claims for former military personnel. File includes correspondence, wage transcripts, monetary determinations, and other related records. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 3 year(s). Records will be held for agency in the State Records Center 3 additional years and then destroyed.

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
CLAIMS DEPARTMENT
FEDERAL EMPLOYEES (UCFE) AND MILITARY PERSONNEL (UCX) PROGRAMS UNIT**

ITEM 20924. MILITARY PERSONNEL (UCX) RED TAG CLAIMS FILE.

Records concerning unemployment insurance claims by former military personnel with appeals to their branches of service. File includes correspondence, wage transcripts, monetary determinations, and other related records. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office 6 years after final determination or final payment of claim and when released from all audits, whichever occurs later.

ITEM 20925. QUARTERLY BILLING STATEMENTS FILE.

Itemized statements of benefit payments made to former federal civilian employees (UCFE) and former military personnel (UCX). File includes composite reports of totals and printouts of manual changes made to the system.

DISPOSITION INSTRUCTIONS: Destroy in office after 6 year(s) and when released from all audits, whichever occurs later.

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
CLAIMS DEPARTMENT
INTERSTATE CLAIMS UNIT**

ITEM 461. INTERSTATE CLAIMS FILE.

Records concerning unemployment insurance benefit claims. File includes correspondence, recent work histories, number of weeks filed, and other related information. File also includes jackets generated from the Internet System. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 1 year and when released from all audits, whichever occurs later. Records will be held for agency in the State Records Center 2 additional years and then destroyed.

ITEM 21214. CORRESPONDENCE FILE.

Correspondence and memorandums written and received by the unit.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 21215. ELIGIBILITY REVIEWS FILE.

Weekly reports of claimants who must report to their local office within 10 days for eligibility reviews. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) and when released from all audits, whichever occurs later.

ITEM 21216. ERROR REPORTS FILE.

Copies of information and/or claims not accepted or input into the system because of errors. (Original records are in Error Printouts File in the Intrastate Claims Unit.) (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office after 1 month(s).

ITEM 21217. CLAIMS CORRESPONDENCE FILE.

Correspondence concerning unemployment insurance claims. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) and when released from all audits, whichever occurs later.

ITEM 21219. ISSUE CREATE REPORTS FILE.

Records concerning various issues generated by the staff or claimants that need to be resolved. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 month(s).

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
CLAIMS DEPARTMENT
INTRASTATE CLAIMS UNIT**

ITEM 460. INTRASTATE CLAIMS DOCUMENTATION FILE.

Documents concerning unemployment insurance claims. (Documents are sources for input of information into the claims system and are maintained for audit purposes after information is read and/or keyed.) (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Microfilm in agency to state standards after read by the optical character reader or handkeyed. Destroy in agency paper records after microfilm has been verified and quality control procedures completed. Destroy in office microfilm after 3 years and when released from all audits, whichever occurs later. Transfer original paper documents for microfilm which fails quality control procedures to the State Records Center after 1 year and when released from all audits, whichever occurs later. Records will be held for agency in the State Records Center 2 additional years and then destroyed.

ITEM 13696. TRANSACTIONS FILE.

Records concerning A8 corrections to earnings. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) and when released from all audits, whichever occurs later.

ITEM 13698. BATCH LOG BOOKS FILE.

Batch logs for 501 and 506 claims which list each batch number, type of batch (handwritten, typed, dot matrix) and number of batches for each category. Information includes time batches were submitted to data processing and time returned to the unit for each batch.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) and when released from all audits, whichever occurs later.

ITEM 13699. CHILD SUPPORT FILE.

Records concerning claimants paying child support. File includes computer printouts and completed copies of Form DSS 7818 from the Department of Human Resources. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 13700. CORRESPONDENCE FILE.

Correspondence and memorandums written and received by the unit.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 13701. CLAIMS CORRESPONDENCE FILE.

Correspondence concerning unemployment insurance claims. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) and when released from all audits, whichever occurs later.

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
CLAIMS DEPARTMENT
INTRASTATE CLAIMS UNIT**

ITEM 13702. EMPLOYER DISKETTES FILE.

Diskettes and other records received from employers concerning payroll and claimants information. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) and when released from all audits, whichever occurs later.

ITEM 13703. ERROR PRINTOUTS FILE.

Records concerning claims rejected by the system for corrections. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) and when released from all audits, whichever occurs later.

ITEM 13705. LATE REPORTING LOG BOOKS FILE.

Lists of late claim reportings by claimants.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 13706. LOADED DISKETTES PRINTOUTS FILE.

Reports listing employer diskettes loaded into system and returned to employers.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 13710. REVISIONS FILE.

Memorandums requesting claims revisions or withdrawals. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) and when released from all audits, whichever occurs later.

ITEM 13711. TAPE/DISKETTE PROCESSING PRINTOUTS FILE.

Printouts listing total claims processed for each employer. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) and when released from all audits, whichever occurs later.

ITEM 13712. TAPE LOG BOOKS FILE.

Log books listing tapes received from, processed by, and returned to employers concerning claims and employers' accounts.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) and when released from all audits, whichever occurs later.

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
CLAIMS DEPARTMENT
MONETARY REVISION UNIT**

ITEM 20202. CLAIMANTS PROFILE DATA FILE.

Printouts concerning all deleted claimant records. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office after 5 year(s) and when released from all audits, whichever occurs later.

ITEM 20203. REPORTS (COMPUTER-GENERATED) FILE.

Reports generated by the computer system utilized by the Monetary Revision Unit. File includes error reports, change wage reports, delete wage reports, and other related reports.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 month(s).

ITEM 20204. CORRESPONDENCE FILE.

Correspondence and memorandums written and received by the unit.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 20206. ERRANT TRANSACTION REPORTS FILE.

Reports concerning errors input into the computer system. File includes BO transactions reports, A4 transactions reports, date change reports, and other related reports.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 year(s) and when released from all audits, whichever occurs later.

ITEM 20209. MICROFILMED EMPLOYER QUARTERLY WAGE RECORDS FILE.

Microfilmed copies of employer quarterly wage records. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM 20211. PROTESTED CLAIMS FILE.

Records concerning protested claims. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office 1 year(s) after termination of claim.

ITEM 20212. PROTESTED MONETARY DETERMINATIONS CONTROL CARDS FILE.

Cards concerning field tax auditors investigations.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

ITEM 20213. WAGE ERROR REPORTS FILE.

Wage error reports produced by the computer system.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 month(s).

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
CLAIMS DEPARTMENT
SPECIAL PROGRAMS UNIT**

ITEM 20927. DISASTER UNEMPLOYMENT ASSISTANCE (DUA) CLAIMANTS FILE.

Records concerning federal disaster unemployment assistance claims. File includes correspondence, wage transcripts, monetary determinations, and other related records. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after final action of claim.

ITEM 20928. QUARTERLY REPORTS FILE.

Quarterly reports produced by the Special Programs Unit.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 20929. TRADE ACT (TRA) CLAIMANTS FILE.

Records concerning federal unemployment insurance benefit claims pursuant to the Trade Act of 1974. File includes correspondence, wage transcripts, monetary determinations, and other related records. (Comply with applicable provisions of G.S. 96-4(t) regarding confidentiality of information provided to the Employment Security Commission by employers and claimants.)

DISPOSITION INSTRUCTIONS: Destroy in office records dated from April 4, 1975 to September 30, 1981 in accordance with requirements of resolution of litigation currently pending in the District of Columbia U.S. District Court. Destroy in office remaining records 3 years after final action of claim.

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
DIRECTOR'S OFFICE**

ITEM 12085. MINUTES FILE.

Minutes concerning Employment Security Commission meetings.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center immediately to be microfilmed for permanent security storage in the Archives vault. Microfilmed paper records will be returned to agency. Transfer returned paper records to the State Records Center when reference value ends. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. Transfer a duplicate copy of subsequent minutes to the State Records Center for security storage.

ITEM 12086. DIRECTOR'S CORRESPONDENCE AND MEMORANDUMS FILE.

Correspondence and memorandums to and from department heads and national and regional offices.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 12087. FEDERAL BULLETINS AND REPORTS FILE.

Copies of bulletins from national and regional offices giving specific data related to unemployment.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 12088. NATIONAL AND REGIONAL OFFICE CORRESPONDENCE FILE.

Correspondence from national and regional offices relating to meetings and fiscal year changes.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 12089. COMMISSIONER FILE.

Correspondence and commission meetings records concerning all divisions. File includes job descriptions, listing of personnel transactions, and other material related to division programs.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 12091. CURRENT REPORT FILE.

Copies of status and other reports from all units containing supporting data related to goals and objectives.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 12092. INDIVIDUAL CORRESPONDENCE FILE.

Correspondence between claimants and the Unemployment Insurance Division.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 12093. UNEMPLOYMENT INSURANCE PROCEDURAL LETTERS FILE.

Records used in local claim offices detailing operating procedures.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 12094. INTERPRETATION FILE.

Attorney General's opinions and Employment Security Commission legal department interpretation of laws governing unemployment insurance claims. File includes policy materials and commission and appeal decisions.

DISPOSITION INSTRUCTIONS: Destroy in office when legal value ends.

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
DIRECTOR'S OFFICE**

ITEM 12095. STATE AUDITOR'S REPORT FILE.

State Auditor's reports and examinations concerning the Employment Security Commission.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 12097. EMPLOYMENT SECURITY COMMISSION AND MISCELLANEOUS BULLETINS FILE.

Evaluations and training reports from field offices detailing findings.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 12099. INDIVIDUAL PAGES FILE.

Information materials and pages which are used in preparing the local office instructional manual.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 12101. OPERATION REPORTS FILE.

Statistical data concerning the Bureau of Employment Security Research.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
FISCAL SERVICES**

ITEM 12201. FINANCIAL FILE.

Financial reports and workpapers created and used in the development of budgets.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year(s) after released from all audits.

ITEM 12202. FINANCIAL MANAGEMENT REPORTS FILE.

Reports detailing item descriptions, obligation plans, total obligations, accrued expenditures, and resources on order.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year(s) after released from all audits.

ITEM 12204. PRINTOUT FILE.

Copies of collected data obtained from work sheets.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year(s) after released from all audits.

ITEM 12207. FLOW CHART FILE.

Information used as a measurement of each unit's progress.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 12208. DRAFT FILE.

Flow charts showing number of claims and appeals.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 12209. MANAGEMENT INFORMATION SYSTEM (MIS) FILE.

Ledgers concerning unemployment insurance cost analysis studies.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year(s) after released from all audits.

ITEM 12212. COMPUTER TAPE FILE.

Stored data collected from the earned/used report data file.

DISPOSITION INSTRUCTIONS: Erase in office when administrative value ends.

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
QUALITY CONTROL UNIT**

- ITEM 20184. SUPERVISOR'S CORRESPONDENCE AND MEMORANDUMS FILE.**
Correspondence and memorandums to and from Employment Security Commission offices, employers, claimants, and national and regional offices.
DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.
- ITEM 20185. FEDERAL BULLETINS AND REPORTS FILE.**
Bulletins and reports from national and regional offices containing pertinent quality control and unemployment insurance information.
DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.
- ITEM 20186. NATIONAL AND REGIONAL OFFICES CORRESPONDENCE FILE.**
Correspondence to and from national and regional offices concerning quality control topics.
DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.
- ITEM 20187. UNEMPLOYMENT INSURANCE PROCEDURAL LETTERS FILE.**
Records detailing unemployment insurance operating procedures. File includes applicable changes and updates.
DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.
- ITEM 20188. INTERPRETATIONS FILE.**
Office of the Attorney General and Employment Security Commission (ESC) legal department interpretations of laws governing unemployment insurance claims. File includes policy records and copies of ESC and appeal decisions.
DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.
- ITEM 20191. CASE INVENTORIES FILE.**
Quality control case on-hand inventory forms submitted weekly by unit personnel.
DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.
- ITEM 20196. COMPUTER ACCESS MONTHLY BILLINGS PRINTOUTS FILE.**
Computer printouts concerning costs charged to Quality Control Unit for access to the agency computer.
DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.
- ITEM 20198. QUALITY CONTROL SAMPLE RESULTS FILE.**
Records concerning unit audits of unemployment insurance claims.
DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.
- ITEM 20199. NON-MONETARY DETERMINATIONS FILE.**
Copies of non-monetary determinations concerning claimants' eligibility for unemployment insurance benefits resulting from audits performed by the Quality Control Unit.
DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.
- ITEM 20200. QUALITY CONTROL INTERSTATE REQUEST CASES FILE.**
Reference information concerning claimant eligibility for unemployment insurance benefits requested by other states' quality control units.
DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
QUALITY CONTROL UNIT**

ITEM 20201. QUALITY CONTROL CASES FILE.

Records concerning investigations and adjudications performed by the Quality Control Unit.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 1 year after final disposition of case. Records will be held for agency in the State Records Center 2 additional years and then destroyed.

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
TAX DEPARTMENT
ACCOUNTS PAYABLE UNIT**

ITEM 29337. DAILY CHECK PENDING LIST FILE.

Computer listing of all accounts payable extracted for input into the check writing system in the previous cycle.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year(s) after released from all audits.

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
TAX DEPARTMENT
ASSISTANT CHIEF OF TAX**

ITEM 29307. BANKRUPTCY CARDS FILE.

Index cards containing data itemizing all actions taken against outstanding bankruptcy, estates, and receivership claims.

DISPOSITION INSTRUCTIONS: Destroy in office after claim is dismissed, closed, or paid.

ITEM 29308. DAILY SYSTEM TOTALS AND BALANCING REPORTS FILE.

Various computer reports documenting system totals and input/output totals for the previous batch update.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year(s) after released from all audits.

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
TAX DEPARTMENT
CASHIERS UNIT**

ITEM 29314. BATCH LOG FILE.

Supervisors' log of quarterly report batches detailing batch type.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year(s) after released from all audits.

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
TAX DEPARTMENT
DELINQUENCY CONTROL UNIT**

ITEM 29315. DAILY LISTS OF BILLING DOCUMENTS FILE.

Segmented computer listing of all billing documents printed.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year(s) after released from all audits.

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
TAX DEPARTMENT
EMPLOYER ACCOUNTS ADJUSTMENT UNIT**

ITEM 29344. DAILY ADJUSTMENT ATTENTION REPORTS FILE.

Computer listing of potential under or over payments resulting from adjustment transactions.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year(s) after released from all audits.

ITEM 29345. PURGED ACCOUNTS MICROFICHE FILE.

Microfiche records concerning terminated accounts purged from the tax system.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 29346. PURGED QUARTERLY AND HISTORY MICROFICHE FILE.

Microfiche records concerning quarterly and associated history transactions purged from the tax system.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 29347. ADJUSTMENT CODING FORMS FILE.

Original processed adjustment coding forms.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year(s) after released from all audits.

ITEM 29348. PRECONVERSION ACCOUNT AND TRANSACTION MICROFICHE FILE.

Microfiche records of extracted tax file and processed transactions for periods prior to November, 1985.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 29349. CONVERSION MICROFICHE FILE.

Microfiche concerning records used for conversion to new tax system.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 29350. DAILY RECERTIFICATION LISTING FILE.

Computer listing of recertification forms printed.

DISPOSITION INSTRUCTIONS: Destroy in office after 6 month(s).

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
TAX DEPARTMENT
EMPLOYER LIABILITY UNIT**

ITEM 29326. ACCOUNT NUMBER ASSIGNMENT REGISTERS FILE.

Notebooks listing new account number assignments.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 29327. ONLINE-UPDATE AUDIT REPORTS FILE.

Cumulative monthly microfiche concerning all online updates of employers' records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 29328. ONLINE-HISTORY REPORTS FILE.

Computer reports concerning all online updates which resulted in the creation of a database history segment.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
TAX DEPARTMENT
EXPERIENCE RATING AND PENDING FILE UNIT**

ITEM 29331. CUMULATIVE EXPERIENCE RATING STATEMENTS FILE.

Microfiche listing all original and revised cumulative experience rating ledgers for a calendar year.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 29332. PROCESSED TRANSACTIONS FILE.

Microfiche listing all processed batch transactions for each calendar month.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 29333. DAILY PENDING FILE LISTING FILE.

Computer listing of transactions which have not been processed.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year(s) after released from all audits.

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
TAX DEPARTMENT
FIELD TAX OPERATIONS UNIT**

ITEM 12152. SPECIAL PROBLEMS FILE.

Records concerning special problems field tax auditors have experienced in dealing with employers.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 12155. PROSECUTION FILE.

Records concerning notices to issue warrants for failure to file tax reports.

DISPOSITION INSTRUCTIONS: Destroy in office after case is closed.

ITEM 12156. MEMORANDUMS TO FIELD TAX AUDITORS FILE.

Memorandums sent to all field tax auditors by the central office.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 29319. FIELD TAX AUDITORS' DAILY REPORTS FILE.

Reports itemizing completed assignments and transmittals to central office.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

ITEM 29320. FIELD TAX AUDITORS' BUSINESS FILE.

Copies of uncompleted field assignments.

DISPOSITION INSTRUCTIONS: Destroy in office after assignment is completed.

ITEM 29321. NONLIABLE-STATUS REPORTS FILE.

Status reports concerning employers investigated and found not liable under the Employment Security Law.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

ITEM 29322. MOTION AND ORDERS LEGAL FILE.

Legal Department motions and orders requiring field investigation.

DISPOSITION INSTRUCTIONS: Destroy in office after issues are resolved.

ITEM 29323. INTERSTATE EMPLOYERS' CORRESPONDENCE FILE.

Correspondence with interstate employers concerning compliance issues.

DISPOSITION INSTRUCTIONS: Destroy in office after issues are resolved.

ITEM 29324. INTERSTATE STATUS INDEX CARDS FILE.

Index cards containing data on interstate employers' status investigations.

DISPOSITION INSTRUCTIONS: Destroy in office after 6 month(s).

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
TAX DEPARTMENT
MICROGRAPHICS UNIT**

ITEM 457. EMPLOYERS' QUARTERLY REPORT BATCHES FILE.

Records in paper and electronic formats concerning numbered batches of processed employers' quarterly tax and wage reports. (File maintenance and backup procedures conducted by Employment Security Commission, Information Technology Services). Amended 3-25-03.

DISPOSITION INSTRUCTIONS: Scan in office and record onto optical disk when received. Destroy in office paper copies of scanned records 90 days after all quality control procedures have been completed. Erase/destroy in office electronic records when administrative value ends.

ITEM 29329. EMPLOYERS' MASTER FILE.

Correspondence concerning taxable North Carolina employees.

DISPOSITION INSTRUCTIONS: Destroy in office when employer is deleted from tax file.

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
TAX DEPARTMENT
WAGE RECORDS UNIT**

ITEM 29341. PROCESSED WAGES LISTING (XTA292) FILE.

Computer listing of processed wage records.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 calendar quarters.

ITEM 29342. MAGNETIC MEDIA LOAD LISTING (XTA291) FILE.

Computer listing of wage records input from magnetic media.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 calendar quarters.

ITEM 29343. MAGNETIC MEDIA INVENTORY LISTING (XTA294-01) FILE.

Computer listing from magnetic media inventory file.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 calendar quarters.

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
TECHNICAL SERVICES**

ITEM 12197. UNEMPLOYMENT INSURANCE QUALITY APPRAISAL FILE.

Records concerning the quality of unemployment insurance operations on a statewide basis. File includes reports and evaluations.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 12198. DISASTER UNEMPLOYMENT ASSISTANCE MANUAL (DUA) FILE.

Determination forms used to implement benefit funds of the Disaster Unemployment Assistance Program.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 12199. MODEL FORMS FILE.

Forms created and accumulated which are used in the programs administered by the Unemployment Insurance Division.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 12200. DISASTER UNEMPLOYMENT ASSISTANCE (DUA) LEDGERS FILE.

Applications for federal disaster unemployment insurance benefits and payment file.

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.

**DEPARTMENT OF COMMERCE
EMPLOYMENT SECURITY COMMISSION
UNEMPLOYMENT INSURANCE DIVISION
UI SUPPORT DEPARTMENT**

ITEM 464. CLAIMS ADJUDICATION FILE.

Records concerning the initiation of the adjudication process. File includes fact-finding reports, adjudicators' determinations, and other related information.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center quarterly. Records will be held for agency in the State Records Center 3 additional years and then destroyed.

ITEM 3520. APPEALS' REFEREES FILE.

Records in paper and electronic formats concerning unemployment insurance (UI) claims appealed by either claimant or employer. File includes evidential data, exhibits, original adjudications, cassette tapes, and other related information. (File maintenance and backup procedures conducted by Employment Security Commission, Information Technology Services). Amended 3-25-03.

DISPOSITION INSTRUCTIONS: Scan in office and record onto optical disk when received. Destroy in office paper copies of scanned records 90 days after all quality control procedures have been completed. Erase/destroy in office electronic records when administrative value ends.

ITEM 13214. FORM NCUI 564 FILE.

Forms providing authority to remove indefinite disqualified claimants from local offices.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after processed.

ITEM 14707. CASE DOCKET REGISTERS FILE.

Docket registers concerning cases received by the UI Support Department. File includes information concerning docket number, identification of claimant, date received, date of hearing, and date decision mailed; separated by category of each case (intrastate and interstate).

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 2 year(s). Records will be held for agency in the State Records Center 3 additional years and then destroyed.

ITEM 14712. REFEREES' ITINERARY FILE.

Records concerning itineraries and scheduled hearings by departmental appeals referees. File includes case docket numbers, continuance requests, and other pertinent data maintained in two copies.

DISPOSITION INSTRUCTIONS: Destroy in office originals when released from all audits. Destroy in office remaining records after 1 year.